



## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/735,717	12/16/2003	Kiyoshi Kato	0756-7230

## CONFIRMATION NO. 5660

## FORMALITIES LETTER



\*OC000000012458334\*

31780  
 ERIC ROBINSON  
 PMB 955  
 21010 SOUTHBANK ST.  
 POTOMAC FALLS, VA 20165

Date Mailed: 04/27/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted***Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- Because your specification was filed in a language other than English, the Office was unable to determine the number of claims submitted. Additional claim fees may be due once the number of claims can be determined.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

88888  
 130.00  
 68.00  
 290.00  
 344.00  
 648.00

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - The drawing figures contain text that is not in English (including, for example, a flow chart that was originally not in English that has been marked up to include the English text) (see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1)). See Figure(s) 1-15.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is \$130 for a Large Entity

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*AC*  
*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



*[Signature]*  
Attorney Docket No. 0756-7230

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Kiyoshi KATO

Serial No. 10/735,717

Filed: December 16, 2003

For: SEMICONDUCTOR MEMORY  
ELEMENT, SEMICONDUCTOR  
MEMORY DEVICE AND METHOD  
OF FABRICATING THE SAME

) Group Art Unit:

) Examiner:

) CERTIFICATE OF MAILING

I hereby certify that this correspondence is  
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Mail in an envelope addressed to:  
Commissioner for Patents, P.O. Box 1450,  
Alexandria, VA 22313-1450, on

*8-27-04*

*Close dictated*

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

**OF NONPROVISIONAL APPLICATION**

Honorable Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application, under 37 CFR 1.53(b) dated April 27, 2004, submitted herewith is a Verification of Translation, an English translation of the application, Figures 1A-15B, Substitute Specification and Copy of Specification Showing Changes, Information Disclosure Statement, Petition for Extension of Time, and a copy of Notice to File Missing Parts of Nonprovisional Application along with the fees under 37 CFR 1.16. (Non-English Specification - \$130, Multiple Dependent Claims - \$290, Additional Claims - \$992, and Two-Month Extension - \$420).

Respectfully submitted,

*[Signature]*  
Eric J. Robinson  
Reg. No. 38,285  
Robinson Intellectual Property Law Office, P.C.  
PMB 955  
21010 Southbank Street  
Potomac Falls, Virginia 20165  
(571) 434-6789



# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/735,717
Filing Date	December 16, 2003
First Named Inventor	Kiyoshi KATO
Group Art Unit	
Examiner Name	
Attorney Docket Number	0756-7230

## ENCLOSURES (check all that apply)

- Fee Transmittal Form
- Fee Attached
- Amendment / Reply
  - After Final
  - Affidavits/declaration(s)
- Extension of Time Request
- Express Abandonment Request
- Information Disclosure Statement
- Certified Copy of Priority Document(s)
- Response to Missing Parts/ Incomplete Application
- Response to Missing Parts under 37 CFR 1.52 or 1.53

<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Declaration and Power of Attorney	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Petition	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Petition to Convert to a Provisional Application	<input checked="" type="checkbox"/> Other Enclosures
<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	1. Verification of Translation
<input type="checkbox"/> Terminal Disclaimer	2. 57 pages comprising specification, claims, abstract
<input type="checkbox"/> Request for Refund	3. 15 sheet formal drawings/Figs. 1A-15B
<input type="checkbox"/> CD, Number of CD(s) _____	4. Substitute Specification/Marked-Up Copy of Specification
	5.
	6.

### Remarks

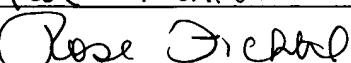
The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 50-2280 for the above identified docket number.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Eric J. Robinson, Reg. No. 38,285 Robinson Intellectual Property Law Office, P.C. PMB 955 21010 Southbank Street Potomac Falls, VA 20165
Signature	
Date	8-27-04

## CERTIFICATE OF MAILING

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Type or printed name	Rose Frechel		
Signature		Date	8/27/04

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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# FEE TRANSMITTAL FOR FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.  
 Applicant claims small entity status. See 37 CFR 1.27.

**TOTAL AMOUNT OF PAYMENT** **(\$)** 1832.00

Complete if Known	
Application Number	10/735,717
Filing Date	December 16, 2003
First Named Inventor	Kiyoshi KATO
Examiner Name	
Group Art Unit	
Attorney Docket No.	0756-7230

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **50-2280**

Deposit Account Name **Robinson Intellectual Property Law Office**

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 and credit overpayments  
 Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit Card  Money Order  Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1001	770	2001 385	Utility filing fee
1002	340	2002 170	Design filing fee
1003	530	2003 265	Plant filing fee
1004	770	2004 385	Reissue filing fee
1005	160	2005 80	Provisional filing fee

**SUBTOTAL (1)** **(\$)** .00

### 2. EXTRA CLAIM FEES

		Fee from below	Fee Paid
Total Claims	56	-20** = 36 X \$18	= \$648
Independent Claims	7	-3** = 4 X \$86	= \$344
Multiple Dependent			\$290 = \$290

Large Entity Fee Code	Small Entity Fee Code	Fee Description (\$)
1202	18	2202 9
1201	86	2201 43
1203	290	2203 145
1204	86	2204 43
1205	18	2205 9

Claims in excess of 20  
Independent claims in excess of 3  
Multiple dependent claim, if not paid  
\*\* Reissue independent claims over original patent  
\*\* Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** **(\$)** 1282.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1051	130	2051 65	Surcharge - late filing fee or oath
1052	50	2052 25	Surcharge - late provisional filing fee or cover sheet
1053	130	1053 130	Non-English specification
1812	2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination
1804	920*	1804 920*	Requesting publication of SIR prior to Examiner action
1805	1,840*	1805 1,840*	Requesting publication of SIR after Examiner action
1251	110	2251 55	Extension for reply within first month
1252	420	2252 210	Extension for reply within second month
1253	950	2253 465	Extension for reply within third month
1254	1,480	2254 740	Extension for reply within fourth month
1255	2,010	2255 1005	Extension for reply within fifth month
1401	330	2401 165	Notice of Appeal
1402	330	2402 165	Filing a brief in support of an appeal
1403	290	2403 145	Request for oral hearing
1451	1,510	1451 1,510	Petition to institute a public use proceeding
1452	110	2452 55	Petition to revive - unavoidable
1453	1,330	2453 665	Petition to revive - unintentional
1501	1,330	2501 665	Utility issue fee (or reissue)
1502	480	2502 240	Design issue fee
1503	640	2503 320	Plant issue fee
1460	130	1460 130	Petitions to the Commissioner
1807	50	1807 50	Processing fee under 37 CFR 1.17(q)
1806	180	1806 180	Submission of Information Disclosure Stmt
8021	40	8021 40	Recording each patent assignment per property (times number of properties)
1809	770	2809 385	Filing a submission after final rejection (37 CFR § 1.129(a))
1810	770	2810 385	For each additional invention to be examined (37 CFR § 1.29(b))
1801	770	2801 385	Request for Continued Examination (RCE)
1802	900	1802 900	Request for expedited examination of a design application
Other fee (specify) _____			

\* Reduced by Basic Filing Fee Paid **SUBTOTAL (3)** **(\$)** 550.00

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on **8/27/04** **Ron J. Robinson**

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Eric J. Robinson	Registration No. (Attorney/Agent)	38,285	Telephone	(571) 434-6789
Signature				Date	8-27-04